U.S. DEPARTMENT OF EDUCATION

Office of Postsecondary Education
Washington, DC 20006-8510

Fiscal Year 2006

APPLICATION FOR GRANTS UNDER THE TRAINING PROGRAM FOR FEDERAL TRIO PROGRAMS

(CFDA NUMBER: 84.103A)

Form Approved
OMB No. 1840 - 0125, Exp. Date: 03/31/2007

CLOSING DATE: April 21, 2006

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February 2006

Dear TRIO Training Program Applicant:

Thank you for your interest in applying for a grant under the Training Program for Federal TRIO Programs (Training Program). The Training Program provides opportunities for personnel employed in Federal TRIO Programs' projects to receive training in topics relevant to their responsibilities. This letter and the document that follows it highlight for you some of the requirements for applying for a grant under the fiscal year (FY) 2006 competition. You should review the entire application package carefully before preparing and submitting your application.

We are requiring that applications for FY 2006 grants under the Training Program be submitted electronically using Grants.gov. You are **strongly** urged to register with Grants.gov as soon as possible if you have not already done so since the registration process can take up to two weeks. There is more information about how to apply through Grants.gov included in the application package. Grants.gov is accessible through its portal page at:

http://www.grants.gov

The Notice Inviting Applications (Notice), published in the Federal Register, contains specific information governing all of the requirements for applying. You are reminded that the document published in the Federal Register is the official document, and that you should not rely upon any information that is inconsistent with the guidance contained within the official document.

On February 28, 2006, we will hold a pre-application workshop from 9:00am to 1:00pm in the 8th Floor Conference Room, 1990 K Street, NW, Washington, D.C. This meeting will give us a chance to explain changes to the application package and provide you an opportunity to ask questions about applying to the Training Program. If you have questions or plan to attend the pre-application meeting on February 28th, please contact Britt Jung, Federal TRIO Programs, U.S. Department of Education by telephone at (202) 502-7638, by e-mail at britt.jung@ed.gov, or by mail at 1990 K Street, NW, 7th Floor, Washington, D.C. 20006-8510.

Thank you for your interest in the Training Program; we look forward to receiving your applications.

Sincerely,

/signed/
Susan E. Beaudoin
Acting Deputy Assistant Secretary
Higher Education Programs

Highlights of Key Changes

1. **Training Program applications must be submitted electronically using Grants.gov** unless you qualify for one of the exceptions to the electronic submission requirement. The requirements for obtaining an exception to the electronic submission have changed. If you think you may need an exception you are urged to review the requirements promptly.

2. **Applications submitted late will not be accepted**. The Department of Education (Department) is required to enforce the established deadline to ensure fairness to all applicants. No changes or additions to an application will be accepted after the deadline date. Please note that Grants.gov does not allow applicant's to "un-submit" applications. If you discover that changes or additions are needed once your application has been accepted and validated by the Department, you must "re-submit" the application. You should know that if the Department receives duplicate applications, we will accept and process the application with the latest "date/time received" validation. Go to the Grants.gov portal page for more information:

http://www.grants.gov

3. In consultation with the TRIO community, **the Department has already determined the need for training** in various topics (absolute priorities). Thus, it is not necessary for applicants to respond to the "need" selection criterion in their applications. Each eligible application will be awarded 25 points in the evaluation process for the "need" selection criterion.

4. **There are four absolute priorities for the FY 2006 competition**. These priorities were chosen from the legislation and regulations for the Training Program and further developed to respond to the articulated training needs of personnel employed in Federal TRIO Programs' projects. You will find more information on the selection criteria, absolute priorities, and application review process in this application package. See the section on "Absolute Priorities for Fiscal Year 2006" for a more thorough discussion of the absolute priorities.

NOTE: Applicants should indicate the priority under which they are applying in Box 15, "Descriptive Title of Applicant's Project," of SF 424. This will ensure that the readers clearly know under which priority each application should be considered.

5. As you develop your proposals, we ask you to **carefully consider the specific content that you will provide through your curriculum and the expertise and knowledge of the trainers that you identify**. As appropriate for the specific priority, trainers should have the knowledge and expertise in serving TRIO-eligible students as well as success in training adults. If you receive a Training Program grant, you will be required to submit your training materials for our review at which time we will look for high quality trainings that include opportunities for the participants to gain knowledge, skills, and resources that support the goals under the priority for which you were awarded

a grant. See the section in this package called "Expectations for Successful Applicants" for more information.

6. **A panel of five non-federal readers will review each application** in accordance with the selection criteria. Each reviewer will prepare a written evaluation of the application and assign points for each selection criterion. The Secretary will eliminate the high and low scores of the scores submitted by each panel of five non-federal readers. The remaining individual scores of the readers will be added and the sum divided by three to determine the reader score received in the review process.

7. **Within each specific absolute priority for which a grant is requested, the Secretary will select applications for funding in rank order of the reader scores received by the applications in the review process.** If, within each absolute priority, there are insufficient funds to fund all applications at the next reader score, the Secretary will use the total score, the application's reader score plus prior experience points, to make awards. See the section, "Review and Selection Process," in the Notice published in the Federal Register for a more detailed discussion.

8. **Information on the Training Program** is accessible at the Department's Web site at:

http://www.ed.gov/programs/triotrain/index.html.

Grants.gov Procedures

IMPORTANT – PLEASE READ FIRST

U.S. Department of Education

Grants.gov Submission Procedures and Tips for Applicants

Please note that the Grants.gov site works differently than the U.S. Department of Education's (Department) e-Application system. To facilitate your use of Grants.gov, this document includes important submission procedures you need to be aware of to ensure your application is received in a timely manner and accepted by the Department of Education.

1) **REGISTER EARLY** – Grants.gov registration is a one-time process that may take five or more days to complete. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the Get Started steps are complete. For detailed information on the Get Started Steps, please go to: http://www.grants.gov/GetStarted.

2) **SUBMIT EARLY** – **We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application after it is fully uploaded.** The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully before 4:30 pm on the deadline date.

   Note: **To submit successfully, you must provide the DUNS number on your application that was used when your organization registered with the CCR (Central Contractor Registry).**

3) **VERIFY SUBMISSION IS OK** – You will want to verify that Grants.gov and the Department receive your Grants.gov submission timely and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Check Application Status link. For a successful submission, the date/time received should be earlier than 4:30 p.m. on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned.

   If the date/time received is later than 4:30 p.m. Washington, D.C. time, on the closing date, your application is late. If your application has a status of "Received" it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to "Validated" or "Rejected with Errors." If the status is "Rejected with Errors," your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site: http://www.grants.gov/assets/ApplicationErrorTips.doc. If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application.

Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

Submission Problems – What should you do?

If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or use the customer support available on the Web site: http://www.grants.gov/CustomerSupport.

If electronic submission is optional and you have problems that you are unable to resolve before the deadline date and time for electronic applications, please follow the transmittal instructions for hard copy applications in the Federal Register notice and get a hard copy application postmarked by midnight on the deadline date.

If electronic submission is required, you must submit an electronic application before 4:30 p.m., unless you follow the procedures in the Federal Register notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. (See the Federal Register notice for detailed instructions.)

Helpful Hints When Working with Grants.gov

Please note, once you download an application from Grants.gov, you will be working offline and saving data on your computer. Please be sure to note where you are saving the Grants.gov file on your computer. You will need to logon to Grants.gov to upload and submit the application. (This is different from e-Application, where you are working online and saving data to the Department's database.) You must provide on your application the DUNS number that was used when your organization registered with the CCR.

Please go to http://www.grants.gov/ForApplicants for help with Grants.gov and click on the links in the lower right corner of the screen under Applicant Tips and Tools. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application Tips found on the Grants.gov homepage http://www.grants.gov.

Dial-Up Internet Connections

When using a dial up connection to upload and submit your application, it can take significantly longer than when you are connected to the Internet with a high-speed connection, e.g. cable modem/DSL/T1. While times will vary depending upon the size of your application, it can take a few minutes to a few hours to complete your grant submission using a dial up connection. **If you do not have access to a high-speed connection and electronic submission is required, you may want to consider following the instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date.** (See the Federal Register notice for detailed instructions.)

MAC Users

If you do not have a Windows operating System, you will need to use a Windows Emulation program to submit an application using Grants.gov. For additional information, review the PureEdge Support for Macintosh white paper published by Pure Edge: http://www.grants.gov/GrantsGov_UST_Grantee/!SSL!/WebHelp/MacSupportforPureEdge.pdf, and/or contact Grants.gov Customer Support (http://www.grants.gov/CustomerSupport) for more information. **If you do not have a Windows emulation program and electronic submission is required, please follow instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date.** (See the Federal Register notice for detailed instructions.)

INSTRUCTIONS FOR TRANSMITTING APPLICATIONS

ATTENTION ELECTRONIC APPLICANTS: Please note that you must follow the Application Procedures as described in the Federal Register notice announcing the grant competition.

This program requires the electronic submission of applications. Specific requirements and instructions can be found in the Federal Register notice.

If you want to apply for a grant and be considered for funding, you must meet the following deadline requirements:

Applications Submitted Electronically

You must submit your grant application through the Internet using the software provided on the Grants.gov Web site (http://www.grants.gov) by 4:30 p.m. (Washington, D.C. time) on the application deadline date. If you submit your application through the Internet via the Grants.gov Web site, you will receive an automatic acknowledgment when we receive your application.

For more information on using Grants.gov, please refer to the Notice Inviting Applications that was published in the Federal Register, the Grants.gov Submission Procedures and Tips document found in the application package instructions, and visit http://www.grants.gov.

According to the instructions found in the Federal Register notice those requesting and qualifying for an Exception to the electronic submission requirement may submit an application via mail, commercial carrier or by hand delivery.

Applications Sent by Mail

You must mail the original and three copies of the application on or before the deadline date. To help expedite our review of your application, we would appreciate your voluntarily including an additional three copies of your application.

Please mail copies to:

U.S. Department of Education
Application Control Center
Attention: CFDA# (84.103A)
400 Maryland Avenue, S.W.
Washington, DC 20202 - 4260

You must show one of the following as proof of mailing:

(1) A legibly dated U. S. Postal Service Postmark.
(2) A legible mail receipt with the date of mailing stamped by the U. S. Postal Service.
(3) A dated shipping label, invoice, or receipt from a commercial carrier.
(4) Any other proof of mailing acceptable to the Secretary.
If you mail an application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

(1) A private metered postmark.
(2) A mail receipt that is not dated by the U.S. Postal Services.

An applicant should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with its local post office.

Applications Delivered by Commercial Carrier:

Special Note: Due to recent disruptions to normal mail delivery, the Department encourages you to consider using an alternative delivery method (for example, a commercial carrier, such as Federal Express or United Parcel Service; or U. S. Postal Service Express Mail) to transmit your application for this competition to the Department. If you use an alternative delivery method, please obtain the appropriate proof of mailing under "Applications Sent by Mail," then follow the mailing instructions under the appropriate delivery method.

Applications that are delivered by commercial carrier, such as Federal Express, United Parcel Service, etc. should be mailed to the:

U.S. Department of Education
Application Control Center – Stop 4260
Attention: CFDA# (84.103A)
7100 Old Landover Road
Landover, MD 20785-1506

Applications Delivered by Hand

You or your courier must hand deliver the original and number of copies requested of the application by 4:30 p.m. (Washington, D.C. time) on or before the deadline date. To help expedite our review of your application, we would appreciate your voluntarily including an additional three copies of your application.

Please hand deliver copies to:

U.S. Department of Education
Application Control Center
Attention: CFDA# (84.103A)
550 12th Street, S.W.
PCP - Room 7041
Washington, DC 20202 – 4260

The Application Control Center accepts application deliveries daily between 8:00 a.m. and 4:30 p.m. (Washington, D.C. time), except Saturdays, Sundays and federal holidays.

Notice Inviting Applications

4000-01-U

DEPARTMENT OF EDUCATION

Office of Postsecondary Education

Overview Information

Training Program for Federal TRIO Programs

(Training Program)

Notice inviting applications for new awards for fiscal year (FY) 2006.

Catalog of Federal Domestic Assistance (CFDA) Number: 84.103A

Dates:

Applications Available: February 2, 2006.

Deadline for Transmittal of Applications: April 21, 2006.

Deadline for Intergovernmental Review: June 20, 2006.

Eligible Applicants: Institutions of higher education and other public and private nonprofit institutions and organizations.

Estimated Available Funds: $4,000,000.

Estimated Range of Awards: $300,000 - $450,000.

Estimated Average Size of Awards: $425,000.

Maximum Award: We will reject any application that proposes a budget exceeding the maximum amount listed for each of the four absolute priorities, listed below, for a single budget period of 12 months:

- Priority 1: $450,000;
- Priority 2: $400,000;
- Priority 3: $450,000; and
- Priority 4: $400,000.

To be consistent with the goal of serving all regions of the country as provided in 34 CFR 642.33, successful applicants will be expected to provide training to at least 325 participants, unless we specifically approve another amount.

Estimated Number of Awards: 8-12.

Note: The Department is not bound by any estimates in this notice.

Project Period: 24 months.

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: To improve the operation of projects funded under the Federal TRIO Programs, the Training Program provides grants to train staff and leadership personnel employed in, participating in, or preparing for employment in, projects funded under the TRIO Programs.

Priorities: In accordance with 34 CFR 75.105(b)(2)(iv) and 34 CFR 75.105(b)(2)(ii), these priorities are from section 402G(b) of the Higher Education Act of 1965, as amended (HEA), and the regulations for this program (34 CFR 642.34). Each successful applicant must provide at least one training session on each requisite topic listed within a specific priority that is tailored to the needs of TRIO staff with less than two years of TRIO project experience.

Each application must clearly identify the specific priority number for which a grant is requested, and must address each of the topics listed under that specific priority. An application for a grant under a specific priority should not include information concerning any other priority. For example, an application for a grant under Priority 1 should address only training to improve record keeping, reporting student and project performance, and evaluation of project performance as a means for designing and operating a model TRIO project.

Absolute Priorities: For FY 2006, these priorities are absolute priorities. Under 34 CFR 75.105(c)(3), we consider only applications that meet these priorities. These priorities are:

Priority 1. Training to improve: record keeping; reporting student and project performance; and, the evaluation of project performance in order to design and operate a model TRIO project.

Number of expected awards: 2-3.

Maximum award amount: $450,000.

Priority 2. Training on: budget management and the legislative and regulatory requirements for operation of the Federal TRIO Programs.

Number of expected awards: 2-3.

Maximum award amount: $400,000.

Priority 3. Training on: assessment of student needs; proven retention and graduation strategies; and the use of educational technology in order to design and operate a model TRIO project.

Number of expected awards: 2-3.

Maximum award amount: $450,000.

Priority 4. Training on: student financial aid and college and university admissions policies and procedures.

Number of expected awards: 2-3.

Maximum award amount: $400,000.

Maximum number of applications for a priority: An applicant may submit only one application for a grant under each priority. If an applicant submits more than one application under a specific priority, we will accept only the first application submitted and we will reject all other applications.

Program Authority: 20 U.S.C. 1070a-11 and 1070a-17.

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98 and 99.

(b) The regulations for this program in 34 CFR part 642.

Note: The regulations in 34 CFR part 79 apply to all applicants except federally recognized Indian tribes.

Note: The regulations in 34 CFR part 86 apply to institutions of higher education only.

II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: $4,000,000.

Estimated Range of Awards: $300,000 - $450,000.

Estimated Average Size of Awards: $425,000.

Maximum Award: We will reject any application that proposes a budget exceeding the maximum amount listed for each of the four absolute priorities, listed below, for a single budget period of 12 months:

- Priority 1: $450,000;
- Priority 2: $400,000;
- Priority 3: $450,000; and
- Priority 4: $400,000.

To be consistent with the goal of serving all regions of the country as provided in 34 CFR 642.33, successful applicants will be expected to provide training to at least 325 participants, unless we specifically approve another amount.

Estimated Number of Awards: 8-12.

Note: The Department is not bound by any estimates in this notice.

Project Period: 24 months.

III. Eligibility Information

1. Eligible Applicants: Institutions of higher education and other public and private nonprofit institutions and organizations.

2. Cost Sharing or Matching: This program does not involve cost sharing or matching.

3. Other: An applicant may submit only one application for a grant under each priority. Each application must clearly identify the specific priority number for which a grant is requested, and must address each of the topics listed under that specific priority. An application for a grant under a specific priority should not include information concerning any other priority.

To be consistent with the goal of serving all regions of the country as provided in 34 CFR 642.33, successful applicants will be expected to provide training to at least 325 participants, unless we specifically approve another amount.

Each successful applicant also must provide at least one training session on each listed topic in a specific priority that is tailored to the needs of new project directors and TRIO staff with less than two years of TRIO project experience.

IV. Application and Submission Information

1. Address to Request Application Package: Britt Jung, U.S. Department of Education, 1990 K Street, NW., suite 7000,

Washington, DC 20006-8510. Telephone: (202) 502-7600 or by e-mail: TRIO@ed.gov.

If you use a telecommunications device for the deaf (TDD), you may call the Federal Relay Service (FRS) at 1-800-877-8339.

Individuals with disabilities may obtain a copy of the application package in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) by contacting the program contact person listed in this section.

2. Content and Form of Application Submission: Requirements concerning the content of an application, together with the forms you must submit, are in the application package for this program.

Page Limit: The application narrative is where you, the applicant, address the selection criteria and priorities that reviewers use to evaluate your application. You must limit the section of the narrative that addresses the selection criteria and priorities to the equivalent of no more than 50 pages, using the following standards:

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides. Page numbers and an identifier may be within the 1" margin.

- Double space (no more than three lines per vertical inch) all text in the application narrative, except titles, headings, footnotes, quotations, references, captions and all text in charts, tables, and graphs.

- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial. Applications submitted in any other font (including Times Roman and Arial Narrow) will be rejected.

- Use 12-point font.

The page limit does not apply to Part I, the application for federal assistance face sheet (SF 424); Part II, the budget information summary form (ED Form 524); and Part IV, the assurances and certifications. The page limit also does not apply to a table of contents. If you include any attachments or appendices, these items will be counted as part of the Program Narrative (Part III) for purposes of the page limit requirement. You must include your complete response to the selection criteria and priorities in the program narrative.

We will reject your application if-

- You apply these standards and exceed the page limit;

or

- You apply other standards and exceed the equivalent of the page limit.

3. <u>Submission Dates and Times</u>:

Applications Available: February 2, 2006.

Deadline for Transmittal of Applications: April 21, 2006.

Applications for grants under this program must be submitted electronically using the Grants.gov Apply site (Grants.gov). For information (including dates and times) about how to submit your application electronically or by mail or hand delivery if you qualify for an exception to the electronic submission requirement, please refer to Section IV. 6. Other Submission Requirements in this notice.

We do not consider an application that does not comply with the deadline requirements.

Deadline for Intergovernmental Review: June 20, 2006.

4. Intergovernmental Review: This program is subject to Executive Order 12372 and the regulations in 34 CFR part 79. Information about Intergovernmental Review of Federal Programs under Executive Order 12372 is in the application package for this program.

5. Funding Restrictions: We reference the regulations outlining funding restrictions in the Applicable Regulations section of this notice.

6. Other Submission Requirements: Applications for grants under this program must be submitted electronically unless you qualify for an exception to this requirement in accordance with the instructions in this section.

a. Electronic Submission of Applications.

Applications for grants under the Training Program — CFDA Number 84.103A - must be submitted electronically using the Grants.gov Apply site at: http://www.grants.gov. Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your application. You may not e-mail an electronic copy of a grant application to us.

We will reject your application if you submit it in paper format unless, as described elsewhere in this section, you qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. Further information regarding calculation of the date that is two weeks before the application deadline date is provided later in this section under Exception to Electronic Submission Requirement.

You may access the electronic grant application for the Training Program at: http://www.grants.gov. You must search for the downloadable application package for this program by the CFDA number. Do not include the CFDA number's alpha suffix in your search.

Please note the following:

- When you enter the Grants.gov site, you will find information about submitting an application electronically through the site, as well as the hours of operation.
- Applications received by Grants.gov are time and date stamped. Your application must be fully uploaded and submitted, and must be date/time stamped by the Grants.gov system no later than 4:30 p.m., Washington, DC time, on the application deadline date. Except as otherwise noted in this section, we will not consider your application if it is date/time stamped by the Grants.gov system later than 4:30 p.m., Washington, DC time, on the application deadline date. When we retrieve your application from Grants.gov, we will notify you if we are rejecting your application because it was date/time stamped by the Grants.gov system after 4:30 p.m., Washington, DC time, on the application deadline date.
- The amount of time it can take to upload an application will vary depending on a variety of factors including the size of the application and the speed of your Internet connection. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the submission process through Grants.gov.
- You should review and follow the Education Submission Procedures for submitting an application through Grants.gov that are included in the application package for this program to

ensure that you submit your application in a timely manner to the Grants.gov system. You can also find the Education Submission Procedures pertaining to Grants.gov at: http://e-Grants.ed.gov/help/GrantsgovSubmissionProcedures.pdf.

- To submit your application via Grants.gov, you must complete all the steps in the Grants.gov registration process(see http://www.grants.gov/GetStarted). These steps include (1) registering your organization, (2) registering yourself as an Authorized Organization Representative (AOR), and (3) getting authorized as an AOR by your organization. Details on these steps are outlined in the Grants.gov 3-Step Registration Guide (see http://www. grants.gov/assets/GrantsgovCoBrandBrochure8X11.pdf). You also must provide on your application the same D-U-N-S Number used with this registration. Please note that the registration process may take five or more business days to complete, and you must have completed all registration steps to allow you to successfully submit an application via Grants.gov.

- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you qualify for an exception to the electronic submission requirement, as described elsewhere in this section, and submit your application in paper format.

- You must submit all documents electronically including all information typically included on the Application for Federal Education Assistance (SF 424), Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications. You must attach any narrative sections of your application as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format. If you upload a file type other than the three file types specified above or submit a password protected file, we will not review that material.

- Your electronic application must comply with any page limit requirements described in this notice.

- After you electronically submit your application, you will receive an automatic acknowledgment from Grants.gov that contains a Grants.gov tracking number. The Department will retrieve your application from Grants.gov and send you a second confirmation by e-mail that will include a PR/Award number (an ED-specified identifying number unique to your application).

- We may request that you provide us original signatures on forms at a later date.

<u>Application Deadline Date Extension in Case of Technical Issues with the Grants.gov System</u>: If you are prevented from electronically submitting your application on the application deadline date because of technical problems with the Grants.gov system, we will grant you an extension until 4:30 p.m.,

Washington, DC time, the following business day to enable you to transmit your application electronically, or by hand delivery. You also may mail your application by following the mailing instructions as described elsewhere in this notice. If you submit an application after 4:30 p.m., Washington, DC time, on the deadline date, please contact the person listed elsewhere in this notice under For Further Information Contact, and provide an explanation of the technical problem you experienced with Grants.gov, along with the Grants.gov Support Desk Case Number (if available). We will accept your application if we can confirm that a technical problem occurred with the Grants.gov system and that that problem affected your ability to submit your application by 4:30 p.m., Washington, DC time, on the application deadline date. The Department will contact you after a determination is made on whether your application will be accepted.

Note: Extensions referred to in this section apply only to the unavailability of or technical problems with the Grants.gov system. We will not grant you an extension if you failed to fully register to submit your application to Grants.gov before the deadline date and time, or if the technical problem you experienced is unrelated to the Grants.gov system.

Exception to Electronic Submission Requirement: You qualify for an exception to the electronic submission requirement, and may submit your application in paper format, if you are unable to submit an application through the Grants.gov system because––

- You do not have access to the Internet; or
- You do not have the capacity to upload large documents to the Grants.gov system;

and

- No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevent you from using the Internet to submit your application. If you mail your written statement to the Department, it must be postmarked no later than two weeks before the application deadline date. If you fax your written statement to the Department, we must receive the faxed statement no later than two weeks before the application deadline date.

Address and mail or fax your statement to: Dr. Linda Byrd-Johnson, U.S. Department of Education, 1990 K Street, NW., suite 7000, Washington, DC 20006–8510. FAX: (202) 502-7857.

Your paper application must be submitted in accordance with the mail or hand delivery instructions described in this notice.

b. Submission of Paper Applications by Mail.

If you qualify for an exception to the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier) your application to the Department. You must mail the original and two copies of your application, on or before the application deadline date, to the Department at the applicable following address:

By mail through the U.S. Postal Service:

U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.103A)
400 Maryland Avenue, SW.
Washington, DC 20202-4260

or

By mail through a commercial carrier:

U.S. Department of Education
Application Control Center – Stop 4260
Attention: (CFDA Number 84.103A)
7100 Old Landover Road
Landover, MD 20785-1506

Regardless of which address you use, you must show proof of mailing consisting of one of the following:

(1) A legibly dated U.S. Postal Service postmark,

(2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service,

(3) A dated shipping label, invoice, or receipt from a commercial carrier, or

(4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

If you mail your application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

(1) A private metered postmark, or

(2) A mail receipt that is not dated by the U.S. Postal Service.

If your application is postmarked after the application deadline date, we will not consider your application.

Note: The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

c. Submission of Paper Applications by Hand Delivery.

If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper application to the Department by hand. You must deliver the original and two copies of your application, by hand, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.103A)
550 12th Street, SW.
Room 7041, Potomac Center Plaza
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30 p.m., Washington, DC time, except

Saturdays, Sundays, and Federal holidays.

Note for Mail or Hand Delivery of Paper Applications: If you mail or hand deliver your application to the Department:

(1) You must indicate on the envelope and — if not provided by the Department — in Item 4 of the Application for Federal Education Assistance (SF 424) the CFDA number – and suffix letter, if any – of the competition under which you are submitting your application.

(2) The Application Control Center will mail a grant application receipt acknowledgment to you. If you do not receive the grant application receipt acknowledgment within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

V. Application Review Information

1. Selection Criteria: The selection criteria for this program competition are in 34 CFR 642.31 and are listed in the application package.

Note: For the FY 2006 competition, the Secretary has identified “need” for training projects through the selection of four absolute priorities. Therefore, the Secretary will consider that an applicant has satisfied the “need” criterion listed in 34 CFR 642.31(f) by applying for a grant under one of these priorities, and applicants do not have to address this criterion. The application package contains instructions on addressing the remaining selection criteria.

2. Review and Selection Process: A panel of non-federal readers will review each application in accordance with the selection criteria, pursuant to 34 CFR 642.30(a). The individual scores of the readers will be added and the sum divided by the number of readers to determine the reader score received in the review process. In accordance with 34 CFR 642.32, the Secretary will award prior experience points to applicants that have conducted a TRIO Training Program project within the last three fiscal years, based on their documented experience. Prior experience points, if any, will be added to the application's reader score to determine the total score for each application.

Pursuant to §402A(c)(3) of the HEA, the Secretary will not make awards in the order of the scores received by the application in the review process and adjusted for prior experience. Instead, within each specific absolute priority for which a grant is requested, the Secretary will select an application for funding in the order of the reader score received by the application in the review process.

Within each specific priority, if there are insufficient funds to fund all applications at the next reader score, the Secretary will use the reader score received by the application in the review process, adjusted for prior experience, to make awards. In the event a tie still exists, the Secretary will select for funding the applicant that has the greatest capacity to provide training in all regions of the Nation in order to assure accessibility to the greatest number of prospective training participants, consistent with 34 CFR 642.33.

VI. Award Administration Information

1. Award Notices: If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notice (GAN). We may also notify you informally.

If your application is not evaluated or not selected for funding, we notify you.

2. Administrative and National Policy Requirements: We identify administrative and national policy requirements in the application package and reference these and other requirements in the Applicable Regulations section of this notice.

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section of this notice and include these and other specific conditions in the GAN. The GAN also incorporates your approved application as part of your binding commitments under the grant.

3. Reporting: At the end of your project period, you must submit a final performance report, including financial

information as directed by the Secretary. You must also submit an annual performance report that provides the most current performance and financial expenditures information as specified by the Secretary in 34 CFR 75.118.

4. Performance Measures: The success of the Training Program is measured by its cost-effectiveness, based on the percentage of TRIO personnel receiving training each year and by the percentage of those receiving training who rate the training as highly useful. All grantees will be required to submit an annual performance report documenting their success in training TRIO personnel, including the average cost per trainee and the trainees' evaluations of the effectiveness of the training provided.

VII. Agency Contacts

For Further Information Contact: Britt Jung (If unavailable, contact Dr. Linda Byrd-Johnson), U.S. Department of Education, 1990 K Street, NW., suite 7000, Washington, DC 20006-8510. Telephone: (202) 502-7600 or by e-mail: TRIO@ed.gov

If you use a telecommunications device for the deaf (TDD), you may call the Federal Relay Service (FRS) at 1-800-877-8339.

Individuals with disabilities may obtain this document in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) on request to the program contact person listed in this section.

VIII. Other Information

Electronic Access to This Document: You may view this document, as well as all other documents of this Department published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site: www.ed.gov/news/fedregister

To use PDF you must have Adobe Acrobat Reader, which is available free at this site. If you have questions about using PDF, call the U.S. Government Printing Office (GPO); toll free, at 1-888-293-6498; or in the Washington, DC area at (202) 512-1530.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at: www.gpoaccess.gov/nara/index.html

Dated:

/signed/______________
Sally L. Stroup,
Assistant Secretary
for Postsecondary Education.

Authorizing Legislation and Regulations

Authorizing Legislation:

Title IV, Part A, Subpart 2 of the Higher Education Act of 1965, as amended:

CHAPTER 1—FEDERAL TRIO PROGRAMS SEC. 402A.
20 U.S.C. 1070a–11

PROGRAM AUTHORITY; AUTHORIZATION OF APPROPRIATIONS.

(a) GRANTS AND CONTRACTS AUTHORIZED. —The Secretary shall, in accordance with the provisions of this chapter, carry out a program of making grants and contracts designed to identify qualified individuals from disadvantaged backgrounds, to prepare them for a program of postsecondary education, to provide support services for such students who are pursuing programs of postsecondary education, to motivate and prepare students for doctoral programs, and to train individuals serving or preparing for service in programs and projects so designed.

(b) RECIPIENTS, DURATION, AND SIZE. —

(1) RECIPIENTS. —For the purposes described in subsection (a), the Secretary is authorized, without regard to section 3709 of the Revised Statutes (41 U.S.C. 5), to make grants to, and contracts with, institutions of higher education, public and private agencies and organizations, combinations of such institutions, agencies and organizations, and in exceptional circumstances, secondary schools, for planning, developing, or carrying out one or more of the services assisted under this chapter.

(2) DURATION. —Grants or contracts made under this chapter shall be awarded for a period of 4 years, except that—

(A) the Secretary shall award such grants or contracts for 5 years to applicants whose peer review scores were in the highest 10 percent of scores of all applicants receiving grants or contracts in each program competition for the same award year;
(B) grants made under section 402G shall be awarded for a period of 2 years; and
(C) grants under section 402H shall be awarded for a period determined by the Secretary.

(3) MINIMUM GRANTS. —Unless the institution or agency requests a smaller amount, individual grants under this chapter shall be no less than—

(A) $170,000 for programs authorized by sections 402D and 402G;
(B) $180,000 for programs authorized by sections 402B and 402F; and
(C) $190,000 for programs authorized by sections 402C and 402E.

(c) PROCEDURES FOR AWARDING GRANTS AND CONTRACTS. —

(1) APPLICATION REQUIREMENTS. —An eligible entity that desires to receive a grant or contract under this chapter shall submit an application to the Secretary in such manner and form, and containing such information and assurances, as the Secretary may reasonably require.

(2) PRIOR EXPERIENCE. —In making grants under this chapter, the Secretary shall consider each applicant's prior experience of service delivery under the particular program for which funds are sought. The level of consideration given the factor of prior experience shall not vary from the level of consideration given such factor during fiscal years 1994 through 1997, except that grants made under section 402H shall not be given prior experience consideration.

(3) ORDER OF AWARDS; PROGRAM FRAUD. —

(A) Except with respect to grants made under sections 402G and 402H and as provided in subparagraph (B), the Secretary shall award grants and contracts under this chapter in the order of the scores received by the application for such grant or contract in the peer review process required under paragraph (4) and adjusted for prior experience in accordance with paragraph (2) of this subsection.

(B) The Secretary is not required to provide assistance to a program otherwise eligible for assistance under this chapter, if the Secretary has determined that such program has involved the fraudulent use of funds under this chapter.

(4) PEER REVIEW PROCESS. —

(A) The Secretary shall ensure that, to the extent practicable, members of groups underrepresented in higher education, including African Americans, Hispanics, Native Americans, Alaska Natives, Asian Americans, and Native American Pacific Islanders (including Native Hawaiians), are represented as readers of applications submitted under this chapter. The Secretary shall also ensure that persons from urban and rural backgrounds are represented as readers.

(B) The Secretary shall ensure that each application submitted under this chapter is read by at least three readers who are not employees of the Federal Government (other than as readers of applications).

(5) NUMBER OF APPLICATIONS FOR GRANTS AND CONTRACTS. —The Secretary shall not limit the number of applications submitted by an entity under any program authorized under this chapter if the additional applications describe programs serving different populations or campuses.

(6) COORDINATION WITH OTHER PROGRAMS FOR DISADVANTAGED STUDENTS. — The Secretary shall encourage coordination of programs assisted under this chapter with other programs for disadvantaged students operated by the sponsoring institution or agency, regardless of the funding source of such programs. The Secretary shall not limit an entity's eligibility to receive funds under this chapter because such entity sponsors a program similar to the program to be assisted under this chapter, regardless of the funding source of such program. The Secretary shall permit the Director

of a program receiving funds under this chapter to administer one or more additional programs for disadvantaged students operated by the sponsoring institution or agency, regardless of the funding sources of such programs.

(7) APPLICATION STATUS. —The Secretary shall inform each entity operating programs under this chapter regarding the status of their application for continued funding at least 8 months prior to the expiration of the grant or contract. The Secretary, in the case of an entity that is continuing to operate a successful program under this chapter, shall ensure that the startup date for a new grant or contract for such program immediately follows the termination of the preceding grant or contract so that no interruption of funding occurs for such successful reapplicants. The Secretary shall inform each entity requesting assistance under this chapter for a new program regarding the status of their application at least 8 months prior to the proposed startup date of such program.

(d) OUTREACH. —

(1) IN GENERAL. —The Secretary shall conduct outreach activities to ensure that entities eligible for assistance under this chapter submit applications proposing programs that serve geographic areas and eligible populations which have been underserved by the programs assisted under this chapter.

(2) NOTICE. —In carrying out the provisions of paragraph (1), the Secretary shall notify the entities described in subsection (b) of the availability of assistance under this subsection not less than 120 days prior to the deadline for submission of applications under this chapter and shall consult national, State, and regional organizations about candidates for notification.

(3) TECHNICAL ASSISTANCE. —The Secretary shall provide technical training to applicants for projects and programs authorized under this chapter. The Secretary shall give priority to serving programs and projects that serve geographic areas and eligible populations which have been underserved by the programs assisted under this chapter. Technical training activities shall include the provision of information on authorizing legislation, goals and objectives of the program, required activities, eligibility requirements, the application process and application deadlines, and assistance in the development of program proposals and the completion of program applications. Such training shall be furnished at conferences, seminars, and workshops to be conducted at not less than 10 sites throughout the United States to ensure that all areas of the United States with large concentrations of eligible participants are served.

(4) SPECIAL RULE. —The Secretary may contract with eligible entities to conduct the outreach activities described in this subsection.

(e) DOCUMENTATION OF STATUS AS A LOWINCOME INDIVIDUAL. —

(1) Except in the case of an independent student, as defined in section 480(d), documentation of an individual's status pursuant to subsection (g)(2) shall be made by providing the Secretary with—

(A) A signed statement from the individual's parent or legal guardian;
(B) Verification from another governmental source;
(C) A signed financial aid application; or
(D) A signed United States or Puerto Rico income tax return.

(2) In the case of an independent student, as defined in section 480(d), documentation of an individual's status pursuant to subsection (g)(2) shall be made by providing the Secretary with—
(A) A signed statement from the individual;
(B) Verification from another governmental source;
(C) A signed financial aid application; or
(D) A signed United States or Puerto Rico income tax return.

(f) AUTHORIZATION OF APPROPRIATIONS. —For the purpose of making grants and contracts under this chapter, there are authorized to be appropriated $700,000,000 for fiscal year 1999, and such sums as may be necessary for each of the 4 succeeding fiscal years. Of the amount appropriated under this chapter, the Secretary may use no more than one half of 1 percent of such amount to obtain additional qualified readers and additional staff to review applications, to increase the level of oversight monitoring, to support impact studies, program assessments and reviews, and to provide technical assistance to potential applicants and current grantees. In expending these funds, the Secretary shall give priority to the additional administrative requirements provided in the Higher Education Amendments of 1992, to outreach activities, and to obtaining additional readers. The Secretary shall report to Congress by October 1, 1994, on the use of these funds.

(g) DEFINITIONS. —For the purpose of this chapter:
(1) FIRST GENERATION COLLEGE STUDENT. —The term ''first-generation college student'' means—
(A) An individual both of whose parents did not complete a baccalaureate degree; or
(B) In the case of any individual who regularly resided with and received support from only one parent, an individual whose only such parent did not complete a baccalaureate degree.

(2) LOW-INCOME INDIVIDUAL. —The term ''low-income individual'' means an individual from a family whose taxable income for the preceding year did not exceed 150 percent of an amount equal to the poverty level determined by using criteria of poverty established by the Bureau of the Census.

(3) VETERAN ELIGIBILITY. —No veteran shall be deemed ineligible to participate in any program under this chapter by reason of such individual's age who—
(A) served on active duty for a period of more than 180 days, any part of which occurred after January 31, 1955, and was discharged or released therefrom under conditions other than dishonorable; or
(B) served on active duty after January 31, 1955, and was discharged or released therefrom because of a service connected disability.

(4) WAIVER. —The Secretary may waive the service requirements in subparagraph (A) or (B) of paragraph (3) if the Secretary determines the application of the service requirements to a veteran will defeat the purpose of a program under this chapter.

Sec. 402G HIGHER EDUCATION ACT OF 1965 SEC. 402G. 20 U.S.C. 1070a–17 STAFF DEVELOPMENT ACTIVITIES.

(a) SECRETARY'S AUTHORITY. —For the purpose of improving the operation of the programs and projects authorized by this chapter, the Secretary is authorized to make grants to institutions of higher education and other public and private nonprofit institutions and organizations to provide training for staff and leadership personnel employed in, participating in, or preparing for employment in, such programs and projects.

(b) CONTENTS OF TRAINING PROGRAMS. —Such training shall include conferences, internships, seminars, workshops, and the publication of manuals designed to improve the operation of such programs and projects and shall be carried out in the various regions of the Nation in order to ensure that the training opportunities are appropriate to meet the needs in the local areas being served by such programs and projects. Such training shall be offered annually for new directors of projects funded under this chapter as well as annually on the following topics and other topics chosen by the Secretary:

(1) Legislative and regulatory requirements for the operation of programs funded under this chapter.
(2) Assisting students in receiving adequate financial aid from programs assisted under this title and other programs.
(3) The design and operation of model programs for projects funded under this chapter.
(4) The use of appropriate educational technology in the operation of projects assisted under this chapter.

(c) CONSULTATION. —Grants for the purposes of this section shall be made only after consultation with regional and State professional associations of persons having special knowledge with respect to the needs and problems of such programs and projects.

Training Program Regulations:

TITLE 34--EDUCATION
CHAPTER VI--OFFICE OF POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION
PART 642-TRAINING PROGRAM FOR FEDERAL TRIO PROGRAMS

Subpart A - General

AUTHORITY: 20 U.S.C. 1070a-11 and 1070a-17, unless otherwise noted.

SOURCE: 47 FR 17788, Apr. 23, 1982, unless otherwise noted.

Subpart A - General

§ 642.1 Training Program for Federal TRIO Programs.

The Training Program for Federal TRIO Programs—referred to in these regulations as the Training Program—provides Federal financial assistance to train the staff and leadership personnel employed in, or preparing for employment in, Federal TRIO Program projects.

(Authority: 20 U.S.C. 1070a–17)
[58 FR 51519, Oct. 1, 1993]

§ 642.2   Eligible applicants

The following are eligible to apply for a grant to carry out a Training Program project:

(a) Institutions of higher education.

(b) Public and private nonprofit agencies and organizations.

(Authority: 20 U.S.C. 1070a–17)
[47 FR 17788, Apr. 23, 1982, as amended at 58 FR 51519, Oct. 1, 1993]

§ 642.3   Eligible participants.

The following are eligible for training under this program:

(a) Leadership personnel and full and part-time staff members of projects under the Federal TRIO Programs.

(b) Individuals preparing for employment as staff or leadership personnel in projects under the Federal TRIO Programs.

(Authority: 20 U.S.C. 1070a–17)
[47 FR 17788, Apr. 23, 1982, as amended at 58 FR 51519, Oct. 1, 1993]

§ 642.4   Regulations that apply to the Training Program.

The following regulations apply to the Training Program:

(a) The Education Department General Administrative Regulations (EDGAR) as follows:

(1) 34 CFR part 74 (Administration of Grants to Institutions of Higher Education, Hospitals, and Nonprofit Organizations).

(2) 34 CFR part 75 (Direct Grant Programs).

(3) 34 CFR part 77 (Definitions that Apply to Department Regulations).

(4) 34 CFR part 79 (Intergovernmental Review of Department of Education Programs and Activities).

(5) 34 CFR part 82 (New Restrictions on Lobbying).

(6) 34 CFR part 85 (Governmentwide Debarment and Suspension (Nonprocurement) and Governmentwide Requirements for Drug-Free Workplace (Grants)).

(7) 34 CFR part 86 (Drug-Free Schools and Campuses).

(b) The regulations in this part 642.

(Authority: 20 U.S.C. 1070a–11 and 1070–17)
[47 FR 17788, Apr. 23, 1982, as amended at 58 FR 51519, Oct. 1, 1993]

§ 642.5   Definitions that apply to the Training Program.

(a) Definitions in EDGAR. The following terms used in this part are defined in 34 CFR part 77:

Applicant
Application
Award
Budget
EDGAR
Equipment
Facilities
Fiscal year
Grant
Grantee
Nonprofit
Private
Project
Project period
Public
Secretary
State
Supplies

(b) *Definitions that apply to this part*. The following definitions apply to this part:

Act means the Higher Education Act of 1965, as amended.

Federal TRIO Programs means the Upward Bound, Talent Search, Student Support Services, Educational Opportunity Centers, and Ronald E. McNair Postbaccalaureate Achievement Programs.

(Authority: 20 U.S.C. 1001 *et seq.,* 1070a-11, 1070–17, 1088, 1141, and 1144a)

Institution of higher education means an educational institution as defined in section 481, 1201(a), or 1204 of the Act.

Leadership personnel means project directors, coordinators, and other individuals involved with the supervision and direction of projects under the Federal TRIO Programs.
[47 FR 17788, Apr. 23, 1982, as amended at 54 FR 7737, Feb. 22, 1989; 57 FR 9005, Mar. 13, 1992; 58 FR 51519, Oct. 1, 1993]

Subpart B—What Kinds of Projects Does the Secretary Assist Under This Program?

§ 642.10 Activities the Secretary assists under the Training Program.

(a) A Training Program project trains the staff and leadership personnel of Federal TRIO Program projects to enable them to more effectively operate those projects.

(b) A Training Program project may include conferences, internships, seminars, workshops, and the publication of manuals designed to improve the operations of Federal TRIO Program projects.

(c) Each year, one or more Training Program projects must provide training for new project directors.

(d) Each year, one or more Training Program projects must offer training covering the following topics:

(1) The legislative and regulatory requirements for operating Federal TRIO Programs.

(2) Assisting students to obtain adequate student financial assistance from programs authorized under Title IV of the Act, as well as from other sources.

(3) The design and operation of model Federal TRIO Program projects.

(Authority: 20 U.S.C. 1070a-17)
[58 FR 51519, Oct. 1, 1993]

Subpart C [Reserved]

Subpart D—How Does the Secretary Make a Grant?

§ 642.30 How the Secretary evaluates an application for a new award.

(a) The Secretary evaluates an application on the basis of the criteria in §642.31.

(1) The Secretary awards up to 100 points for these criteria.

(2) The maximum possible score for each complete criterion is indicated in the parentheses next to the heading of that criterion.

(b) In addition, for applicants that have conducted a Training Program project within the three fiscal years prior to the fiscal year for which the applicant is applying, the Secretary considers the experience of the applicant on the basis of §642.32.

(Authority: 20 U.S.C. 1070d, 1070d-1d)

§ 642.31 Selection criteria the Secretary uses.

The Secretary uses the criteria in paragraphs (a) through (f) of this section to evaluate applications:

(a) *Plan of operation.* (20 points) (1) The Secretary reviews each application for information that shows the quality of the plan of operation for the project.

(2) The Secretary looks for information that shows—

(i) High quality in the design of the project;

(ii) An effective plan of management that insures proper and efficient administration of the project;

(iii) A clear description of how the objectives of the project relate to the purpose of the program;

(iv) The way the applicant plans to use its resources and personnel to achieve each objective; and

(v) A clear description of how the applicant will provide equal access and treatment for eligible project participants who are members of groups that have been traditionally underrepresented, such as—

(A) Members of racial or ethnic minority groups;

(B) Women;

(C) Handicapped persons; and

(D) The elderly.

(b) *Quality of key personnel.* (20 points) (1) The Secretary reviews each application for information that shows the qualifications of the key personnel the applicant plans to use on the project.

(2) The Secretary looks for information that shows—

(i) The qualifications of the project director;

(ii) The qualifications of each of the other key personnel to be used in the project;

(iii) The time that each person referred to in paragraphs (b)(2)(i) and (ii) of this section plans to commit to the project; and

(iv) The extent to which the applicant, as part of its nondiscriminatory employment practices, encourages applications for employment from persons who are members of groups that have been traditionally underrepresented, such as—

(A) Members of racial or ethnic minority groups;

(B) Women;

(C) Handicapped persons; and

(D) The elderly.

(3) To determine the qualifications of a person, the Secretary considers evidence of past experience and training, in fields related to the objectives of the project, as well as other information that the applicant provides.

(c) *Budget and cost effectiveness.* (10 points) (1) The Secretary reviews each application for information that shows that the project has an adequate budget and is cost effective.

(2) The Secretary looks for information that shows—

(i) The budget for the project is adequate to support the project activities; and

(ii) Costs are reasonable in relation to the objectives of the project.

(d) *Evaluation plan.* (10 points) (1) The Secretary reviews each application for information that shows the quality of the evaluation plan for the project.

(2) The Secretary looks for information that shows methods of evaluation that are appropriate for the project and, to the extent possible, are objective and produce data that are quantifiable.

(e) *Adequacy of resources.* (15 points)

(1) The Secretary reviews each application for information that shows that the applicant plans to devote adequate resources to the project.

(2) The Secretary looks for information that shows—

(i) The facilities that the applicant plans to use are adequate; and

(ii) The equipment and supplies that the applicant plans to use are adequate.

(f) *Need.* (25 points) (1) The Secretary reviews each application for information that shows a need for a Training Program project.

(2) The Secretary looks for information that shows—

(i) The extent to which the proposed training addresses a specific need not addressed by other training projects available to Federal TRIO Programs personnel;

(ii) The extent to which the proposed training addresses a significant training need in the region(s) to be served; and

(iii) The extent to which the proposed training addresses needs that are consistent with the topics required by statute and other topics chosen as priorities by the Secretary as authorized under §642.34.

(Authority: 20 U.S.C. 1070a–11 and 1070a–17)

[47 FR 17788, Apr. 23, 1982, as amended at 58 FR 51519, Oct. 1, 1993]

Effective Date Note: At 58 FR 51519, Oct. 1, 1993 in §642.31, paragraph (f)(2)(i) was amended by removing "Special Programs" and adding "Federal TRIO Programs" in their place, and (f)(2)(iii) was revised. This section contains information collection and recordkeeping requirements and will not become effective until approval has been given by the Office of Management and Budget.

§ 642.32 Prior experience.

(a)(1) The Secretary gives priority to each applicant that has conducted a Training Program project under title IV-A-4 of the Higher Education Act within the three fiscal years prior to the fiscal year for which the applicant is applying.

(2) To determine the number of priority points to be awarded each eligible applicant, the Secretary considers the applicant's prior experience of service delivery in accordance with paragraphs (b) and (c) of this section.

(b)(1) The Secretary may add from one to eight points to the point score obtained on the basis of the selection criteria in §642.31, based on the applicant's success in meeting the administrative requirements and programmatic objectives of paragraph (c) of this section.

(2) The maximum possible score for each criterion is indicated in the parentheses preceding the criterion.

(c) The Secretary—based on information contained in one or more of the following: Performance reports, audit reports, training site visit reports, evaluations by participants, project evaluation reports, the previously funded application, the negotiated program plan(s), and the application under consideration—looks for information that shows—

(1) (2 points) The extent to which the project has served the number and kinds of training participants it was funded to serve;

(2) (2 points) The extent to which participants benefited from training in areas such as—

(i) Increased qualifications and skills in meeting the needs of disadvantaged students; and

(ii) Increased knowledge and understanding of the Federal TRIO Programs;

(3) (2 points) The extent to which the applicant has achieved other goals and objectives as stated in the previously funded application or negotiated program plan; and

(4) (2 points) The extent to which the applicant has met the administrative requirements—including recordkeeping, reporting, and financial accountability—under the terms of the previously funded award.

(Authority: 20 U.S.C. 1070a–11)
[47 FR 24973, June 8, 1982, as amended at 58 FR 51520, Oct. 1, 1993]

§ 642.33 Geographic distribution.

The Secretary, to the greatest extent possible, awards grants for Training Program projects that will be carried out in all of the regions of the Nation in order to assure accessibility to prospective training participants.

(Authority: 20 U.S.C. 1070a–17)

§ 642.34 Priorities for funding.

(a) The Secretary, after consultation with regional and State professional associations of persons having special knowledge with respect to the training needs of Special Programs personnel, may select one or more of the following subjects as training priorities:

(1) Basic skills instruction in reading, mathematics, written and oral communication, and study skills.

(2) Counseling.

(3) Assessment of student needs.

(4) Academic tests and testing.

(5) College and university admissions policies and procedures.

(6) Student financial aid.

(7) Cultural enrichment programs.

(8) Career planning.

(9) Tutorial programs.

(10) Retention and graduation strategies.

(11) Support services for persons of limited proficiency in English.

(12) Support services for physically handicapped persons.

(13) Strategies for preparing students for doctoral studies.

(14) Project evaluation.

(15) Budget management.

(16) Personnel management.

(17) Reporting student and project performance.

(18) Coordinating project activities with other available resources and activities.

(19) General project management for new directors.

(20) Legislative and regulatory requirements for the operation of programs.

(21) The design and operation of model programs for projects funded under the Federal TRIO Programs.

(b) The Secretary annually funds training on the subjects listed in paragraphs (a)(6), (19), (20), and (21) of this section.

(c) The Secretary may consider an application for a Training Program project that does not address one of the established priorities if the applicant addresses another significant training need in the local area being served by the Federal TRIO Programs.

(Authority: 20 U.S.C. 1070a–11 and 1070a–17)
[54 FR 7737, Feb. 22, 1989, as amended at 58 FR 51520, Oct. 1, 1993]

Subpart E—What Conditions Must Be Met by a Grantee?

§ 642.40 Allowable costs.

Allowable project costs may include the following costs reasonably related to carrying out a Training Program project:

(a) Rental of space, if space is not available at a sponsoring institution and if the space is not owned by a sponsoring institution.

(b) Printing.
(c) Postage.
(d) Purchase or rental of equipment if approved in writing by the Secretary.
(e) Consumable supplies.
(f) Transportation costs for participants and training staff.
(g) Lodging and subsistence costs for participants and training staff.
(h) Transportation costs, lodging and subsistence costs and fees for consultants, if any.
(i) Honorariums for speakers who are not members of the staff or consultants to the project.
(j) Other costs that are specifically approved in advance and in writing by the Secretary.

(Authority: 20 U.S.C. 1070a–11 and 1070a–17)

§ 642.41 Nonallowable costs.

Costs that may not be charged against a grant under this program include the following:
(a) Research not directly related to the evaluation or improvement of the project.
(b) Construction, renovation, or remodeling of any facilities.
(c) Stipends, tuition fees, and other direct financial assistance to trainees other than those participating in internships.

(Authority: 20 U.S.C. 1070a–11 and 1070a–17)

Absolute Priorities for Fiscal Year 2006

The Department will fund projects under the Training Program that provide training for staff and leadership personnel employed in, participating in, or preparing for employment in the Federal TRIO Programs. The Secretary has identified the content of the trainings to be held, listed under the following four (4) absolute priorities for this competition. The Notice published in the Federal Register has additional information on the FY 2006 competition. Applicants should indicate the priority under which they are applying in Box 15, "Descriptive Title of Applicant's Project," of SF 424.

NOTES:

1) Applicants must identify and provide the position requirements and qualifications of experts who have proven knowledge and expertise in serving TRIO-eligible students.
2) Applicants must show evidence of having researched and identified training methods for adults that have had proven success.

Absolute Priority #1

Record keeping; reporting of student and project performance; and the evaluation of project performance in order to design and operate a model TRIO project.

Trainings conducted under this priority must emphasize and support the importance of using data to improve project performance. Applicants must articulate how they will assist participants with collecting data that will meet the programs' mandatory objectives; analyzing the data; reporting the data to the Department; evaluating the project through the data; and using the information gained from the data to improve the project's success in meeting its program specific objectives.

Record Keeping and Reporting

- Applicants must have a working knowledge of each TRIO program's **objectives** in order to assist participants with identifying effective ways to **collect, record and analyze the data** that will serve to meet each TRIO program's objectives.
- The trainings must provide TRIO personnel with effective strategies for **reporting student and project performance** to the Department.
- Applicants must have a working knowledge of the Department's **performance reporting requirements** for each TRIO program and propose to conduct trainings on those annual requirements for half of the TRIO programs in year one of the grant cycle and the other half of the TRIO programs in year two of the grant cycle.

Evaluation

- The trainings must provide TRIO personnel with information and resources on how to conduct **formative and summative evaluations** in order to improve the performance of the project staff and the project as a whole.

Absolute Priority #2

Budget Management and the legislative and regulatory requirements for operation of the Federal TRIO Programs.

Trainings conducted under this priority must provide participants with an understanding of the connection between program management and the legislative and regulatory requirements governing their TRIO projects. Applicants must understand how the TRIO legislation, regulations, OMB Circulars, and Departmental policies should shape the budget and program management practices of project personnel.

Budget Management

- Applicants must emphasize how to develop and improve **budget management** through **internal controls and financial management** with special emphasis placed on the relevant OMB Circulars. Trainings must cover checks and balances designed to ensure that grant funds are used only for eligible expenses and that no one person controls the authorization and disbursement of grant funds. Trainings must also cover conflicts of interest provisions and the grantee's obligations as a fiduciary.

Legislative and Regulatory Requirements

- Applicants must have a working knowledge of the **legislation and regulations that govern TRIO programs**, including the Education Department General Administration Regulations (EDGAR), OMB Circulars, and policy statements issued by the Department. Applicants should propose trainings that will provide participants with examples of practical applications of the governing rules for each program and TRIO programs as a whole.
- Applicants may propose to conduct trainings for **institutional teams** in order to assist them in understanding the **legislation and regulations governing the TRIO programs**; and, to assure that institutional representatives from other departments at the host institutions, along with TRIO directors and staff, understand the expectations, rights, and responsibilities of institutions and agencies that agree to sponsor TRIO grants.
- Emphasis should be placed on:
    - Providing a history of the legislative purpose of TRIO programs in order to highlight the importance of adherence to the programs' legislation and regulations;
    - Determining participant eligibility;
    - Understanding the difference between allowable and non-allowable costs;
    - Learning how to prevent and resolve audit disputes; and
    - Examining ways to coordinate TRIO programs with other programs for disadvantaged students.

Absolute Priority #3

Assessment of student needs; proven retention and graduation strategies; and the use of educational technology in order to design and operate a model TRIO project.

Applicants must propose trainings that will provide TRIO personnel with **proven strategies for retaining students and supporting them through graduation**. Trainings must include substantive information on the use of **educational technology** as a program strategy to serve TRIO students and meet the goals of retention and graduation.

Needs Assessment

- Trainings must teach the participants how to **assess the needs of their students** and how to tailor counseling and support to the specific needs of each student.

Retention and Graduation Strategies

- Applicants must emphasize the importance of **strategies** that take into account the diverse cultural backgrounds of TRIO participants and the trainings must take into consideration the **diverse needs of TRIO students**, whether they are adults, second language learners, or non-traditional TRIO students, including Veterans.
- Identified strategies must have proven results in supporting TRIO projects or projects serving TRIO-eligible students with **demonstrated growth in retention and graduation rates**.

Educational Technology

- Applicants must address different ways that TRIO personnel can use **technology to both manage their project and provide services to students**, with an emphasis on services to students that utilize educational technology.
- Applicants must have a proven track record of providing training in educational technology and their ability to tailor trainings to participants' varied skill levels and knowledge.

Absolute Priority #4

Student financial aid and college and university admissions policies and procedures.

Applicants must address how they will train TRIO personnel to understand and obtain the information and skills needed to assist TRIO students in obtaining adequate **financial aid**, and understanding **college and university entrance requirements** in order to enroll in institutions of higher education. The Department is especially interested in applicants that have proven experience and knowledge regarding how to meet the needs of, and how to help create opportunities for, non-traditional students.

Student Financial Aid

- Trainings under this priority must give particular attention to how projects can work with financial aid offices to provide a student sufficient **financial assistance** to meet his or her full financial need while limiting the student's loan burden to a manageable level.
- Applicants must be able to train participants on the appropriate use of the **grant aid provision in the Student Support Services program**.

Admissions Policies and Procedures

- Trainings must help participants understand the variety of **college and university admissions policies and procedures**. The trainings must also provide participants the information and skills that will allow them to access the policies and procedures of different institutions and how to best help TRIO students navigate the processes of different institutions.
- Applicants should give attention to how projects can help a student interested in enrolling in a graduate program secure **graduate fellowships or assistantships**.

Expectations for Successful Applicants

I. Project Directors' Meeting

All successful applicants will be required to attend a Project Directors' Meeting in Washington, D.C., shortly after the award of the grants. The purpose of this meeting will be to clarify the purpose of the trainings under each priority and the expectations that the Department has for its grantees. Applicants should include funds for travel to D.C. to attend this one-day meeting in the budget section of their proposal.

II. Coordinating Trainings

We anticipate awarding at least two and possibly three grants under each priority. As a result, we want to ensure that trainings do not overlap and are located and scheduled at times and places that will allow as many participants as possible to attend. Successful applicants will be asked to coordinate with the Lead Training Program specialist. Any necessary changes to the dates or locations must also be shared as soon as possible. TRIO personnel depend upon the Department to disseminate and maintain timely information on the trainings; therefore, we need to make sure that the information we do provide is accurate.

III. Training Materials

Successful applicants or FY 2006 Training Program grantees will be asked to share their training materials with the Lead Training Program specialist at least six weeks prior to their first scheduled training. The Department will review the materials in an attempt to make sure that trainings will enhance the knowledge, skills, and available resources of the TRIO personnel who participate in the trainings based on the needs and objectives of the TRIO programs.

Materials to be reviewed will include the following:

- an **agenda** with trainers and topics identified,
- a detailed **curriculum**, including the resources and materials that will be used; and
- an **evaluation** that will produce qualitative as well as quantitative data and analysis.

The training materials should answer the following questions:

- What content knowledge can participants expect to gain?
- What will the participants learn how to do?
- What will participants take with them, in the form of resources?
- What could participants learn about successful practices and lessons learned from other TRIO projects?
- How will the needs of TRIO personnel with varying levels of experience all be met?
- Is the length of time for the training appropriate to cover the material while also sensitive to the time, budget, and workload constraints of TRIO personnel?
- How has the training addressed different learning styles through the presentation styles and use of different media?

Broadly, we expect each Training Program grantee to design trainings that address the following three areas at every training: **knowledge, skills, and resources**. Additionally, grantees should include information on follow-up activities if they plan to conduct any.

Knowledge
Each training should have explicit goals for participants to attain content knowledge. The content should:

- address all components of the priority under which you have been funded;
- address the needs of the programs as they relate to your training priority (see detail under Absolute Priorities section);
- support projects' achievement of the programs' objectives;
- be appropriate for the varied experience levels of the participants; and
- be new and different if you are a prior grantee and have requested funds for content and format development.

Skills
Each training should provide participants with opportunities to develop skills and attain new content knowledge that will enable them to better serve students. Participants should have opportunities that include:

- demonstrations of skills;
- learning how projects might apply these skills; and
- time to apply and begin to develop these skills.

Resources
Materials offered to participants should:

- be easy to use, easy to access;
- be constructed to make accessing the information easier for the participant than if he or she had to find the information him or herself; and
- provide opportunities for participants' sharing of ideas.

IV. Reporting Requirements

Each successful grantee must agree to collect data and maintain records over the course of the grant period. The Department has established the following performance indicators for the Training Program through which the success of the program is measured: (1) cost-effectiveness, based on the percentage of TRIO personnel receiving training each year; and (2) the percentage of those receiving training who rate the training as highly useful. As part of the annual performance report, grantees must report the number of participants they served as well as the names of the participants' projects and institutions. The Department will collect this and other grant information annually, or twice during the grant period of Training grantees.

Additionally, grantees are required to communicate with their program specialists when they seek a change in key personnel, the objectives of the project, or the scope of the project. In general, when uncertain, it's always best to communicate with the program specialists to verify compliance and appropriate grant management.

Executive Order 12372 -- Intergovernmental Review

APPENDIX

This appendix applies to each program that is subject to the requirements of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR part 79.

The objective of the Executive order is to foster an intergovernmental partnership and to strengthen federalism by relying on State and local processes for State and local government coordination and review of proposed Federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. Applicants proposing to perform activities in more than one State should immediately contact the Single Point of Contact for each of those States and follow the procedure established in each of those States under the Executive order. A listing containing the Single Point of Contact for each State is included in this appendix.

In States that have not established a process or chosen a program for review, State, areawide, regional, and local entities may submit comments directly to the Department.

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, areawide, regional, and local entities must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372--CFDA# [commenter must insert number--including suffix letter, if any], U.S. Department of Education, room 7W301, 400 Maryland Avenue, SW., Washington, DC 20202.

Proof of mailing will be determined on the same basis as applications (see 34 CFR 75.102). Recommendations or comments may be hand-delivered until 4:30 p.m. (Washington, DC time) on the date indicated in the actual application notice.

PLEASE NOTE THAT THE ABOVE ADDRESS IS NOT THE SAME ADDRESS AS THE ONE TO WHICH THE APPLICANT SUBMITS ITS COMPLETED APPLICATION. DO NOT SEND APPLICATIONS TO THE ABOVE ADDRESS.

STATE SINGLE POINTS OF CONTACT (SPOCs)

It is estimated that in 2004 the federal government will outlay $400 billion in grants to state and local governments. Executive Order 12372, "Intergovernmental Review of Federal Programs," was issued with the desire to foster the intergovernmental partnership and strengthen federalism by relying on state and local processes for the coordination and review of proposed federal financial assistance and direct federal development. The Order allows each state to designate an entity to perform this function. Below is the official list of those entities. For those states that have a home page for their designated entity, a direct link has been provided on the official version: http://www.whitehouse.gov/omb/grants/spoc.html

States that are not listed on this page have chosen not to participate in the intergovernmental review process, and therefore do not have a SPOC. If you are located within one of these states, you may still send application materials directly to a federal awarding agency.

Contact information for federal agencies that award grants can be found in The Catalog of Federal Domestic Assistance Catalog Contents Page. You can access Appendix IV by Agency [http://12.46.245.173/CFDA/appx4_web.pdf] or by State [http://12.46.245.173/CFDA/appx4_web_state.pdf].

ARKANSAS Tracy L. Copeland Manager, State Clearinghouse Office of Intergovernmental Services Department of Finance and Admin. 1515 W. 7th St., Room 412 Little Rock, Arkansas 72203 Telephone: (501) 682-1074 Fax: (501) 682-5206 tlcopeland@dfa.state.ar.us	**CALIFORNIA** Grants Coordination State Clearinghouse Office of Planning and Research P.O. Box 3044, Room 222 Sacramento, California 95812-3044 Telephone: (916) 445-0613 Fax: (916) 323-3018 state.clearinghouse@opr.ca.gov
DELAWARE Sandra R. Stump Executive Department Office of the Budget 540 S. Dupont Highway, 3rd Floor Dover, Delaware 19901 Telephone: (302) 739-3323 Fax: (302) 739-5661 sandy.stump@state.de.us	**DISTRICT OF COLUMBIA** Marlene Jefferson DC Government Office of Partnerships And Grants Development 441 4th Street, N.W. Washington, DC 20001 Telephone: (202) 727-6518 Fax: (202) 727-1652 marlene.Jefferson@dc.gov
FLORIDA Lauren P. Milligan Florida State Clearinghouse Florida Dept. of Environmental Protection 3900 Commonwealth Blvd., Mail Station 47 Tallahassee, Florida 32399-3000 Telephone: (850) 245-2161 Fax: (850) 245-2190 Lauren.Milligan@dep.state.fl.us	**GEORGIA** Barbara Jackson Georgia State Clearinghouse 270 Washington Street, SW, 8th Floor Atlanta, Georgia 30334 Telephone: (404) 656-3855 Fax: (404) 656-7901 gach@mail.opb.state.ga.us

ILLINOIS Roukaya McCaffrey Department of Commerce and Economic Opportunities 620 East Adams, 6th Floor Springfield, Illinois 62701 Telephone: (217) 524-0188 Fax: (217) 558-0473 roukaya_mccaffrey@illinoisbiz.biz	**IOWA** Kathy Mable Iowa Department of Management State Capitol Building Room G 12 1007 E Grand Avenue Des Moines, Iowa 50319 Telephone: (515) 242-8834 Fax: (515) 242-5897 Kathy.Mable@iowa.gov
KENTUCKY Ron Cook The Govenor's Office for Local Development 1024 Capital Center Drive, Suite 340 Frankfort, Kentucky 40601 Telephone: (502) 573-2382/(800) 346-5606 Fax: (502) 573-2512 Ron.cook@Ky.Gov	**MAINE** Joyce Benson State Planning Office 184 State Street 38 State House Station Augusta, Maine 04333 Telephone: (207) 287-3261 (direct): (207) 287-1461 Fax: (207) 287-6489 joyce.benson@state.me.us
MARYLAND Linda C. Janey, J.D. Director, Capital Planning and Development Review Maryland Department of Planning 301 West Preston Street, Room 1104 Baltimore, Maryland 21201-2305 Telephone: (410) 767-4490 Fax: (410) 767-4480 linda@mail.op.state.md.us	**MICHIGAN** Richard Pfaff Southeast Michigan Council of Governments 535 Griswold, Suite 300 Detroit, Michigan 48226 Telephone: (313) 961-4266 Fax: (313) 961-4869 pfaff@semcog.org
MISSISSIPPI Mildred Tharpe Clearinghouse Officer Department of Finance and Administration 1301 Woolfolk Building, Suite E 501 North West Street Jackson, Mississippi 39201 Telephone: (601) 359-6762 Fax: (601) 359-6758	**MISSOURI** Federal Assistance Clearinghouse Office of Administration P.O. Box 809 Truman Building, Room 840 Jefferson City, Missouri 65102 Telephone: (573) 751-4834 Fax: (573) 522-4395 igr@mail.oa.state.mo.us
NEVADA Michael Stafford Department of Administration State Clearinghouse 209 E. Musser Street, Room 200 Carson City, Nevada 89701 Telephone: (775) 684-0209 Fax: (775) 684-0260 mstafford@budget.state.nv.us	**NEW HAMPSHIRE** MaryAnn Manoogian Director, New Hampshire Office of Energy and Planning Attn: Intergovernmental Review Process Benjamin Frost 57 Regional Drive Concord, New Hampshire 03301-8519 Telephone: (603) 271-2155 Fax: (603) 271-2615 irp@nh.gov
NEW YORK Linda Shkreli Office of Public Security Homeland Security Grants Coordination 633 3rd Avenue New York, New York 10017 Telephone: (212) 867-1289 Fax: (212) 867-1725	**NORTH DAKOTA** Jim Boyd ND Department of Commerce 1600 East Century Avenue, Suite 2 P.O. Box 2057 Bismarck, North Dakota 58505-2057 Telephone: (701) 328-2676 Fax: (701) 328-2308 jboyd@state.nd.us

RHODE ISLAND Joyce Karger Department of Administration Statewide Planning Program One Capitol Hill Providence, Rhode Island 02908-5870 Telephone: (401) 222-6181 Fax: (401) 222-2083 jkarger@doa.state.ri.us	**SOUTH CAROLINA** SC Clearinghouse Budget and Control Board Office of State Budget 1201 Main Street, Suite 950 Columbia, South Carolina 29201 Telephone: (803) 734-0494 Fax: (803) 734-0645 clearinghouse@budget.state.sc.us
TEXAS Denise S. Francis Director, State Grants Team Governor's Office of Budget and Planning P.O. Box 12428 Austin, Texas 78711 Telephone: (512) 305-9415 Fax: (512) 936-2681 dfrancis@governor.state.tx.us	**UTAH** Sophia DiCaro Utah State Clearinghouse Governor's Office of Planning and Budget Utah Capitol Complex Suite E210, P.O. Box 142210 Salt Lake City, Utah 84114-2210 Telephone: (801) 538-1027 Fax: (801) 538-1547 ddicaro@utah.gov
WEST VIRGINIA Fred Cutlip, Director Community Development Division West Virginia Development Office Building #6, Room 553 Charleston, West Virginia 25305 Telephone: (304) 558-4010 Fax: (304) 558-3248 fcutlip@wvdo.org	**WISCONSIN** Jeff Smith Section Chief, Federal/State Relations Wisconsin Department of Administration 101 East Wilson Street, 6th Floor P.O. Box 7868 Madison, Wisconsin 53707 Telephone: (608) 266-0267 Fax: (608) 267-6931 jeffrey.smith@doa.state.wi.us
AMERICAN SAMOA Pat M. Galea'i Federal Grants/Programs Coordinator Office of Federal Programs/Office of the Governor Department of Commerce American Samoa Government Pago Pago, American Samoa 96799 Telephone: (684) 633-5155 Fax: (684) 633-4195 pmgaleai@samoatelco.com	**GUAM** Director Bureau of Budget and Mgmt. Research Office of the Governor P.O. Box 2950 Agana, Guam 96910 Telephone: 011-671-472-2285 Fax: 011-671-472-2825 jer@ns.gov.gu
NORTH MARIANA ISLANDS Ms. Jacoba T. Seman Federal Programs Coordinator Office of Management and Budget Office of the Governor Saipan, MP 96950 Telephone: (670) 664-2289 Fax: (670) 664-2272 omb.jseman@saipan.com	**PUERTO RICO** Jose Caballero / Mayra Silva Puerto Rico Planning Board Federal Proposals Review Office Minillas Government Center P.O. Box 41119 San Juan, Puerto Rico 00940-1119 Telephone: (787) 723-6190 Fax: (787) 722-6783

VIRGIN ISLANDS Ira Mills Director, Office of Management and Budget #41 Norre Gade Emancipation Garden Station, Second Floor Saint Thomas, Virgin Islands 00802 Telephone: (340) 774-0750 Fax: (340) 776-0069 lrmills@usvi.org	

Changes to this list can be made only after OMB is notified by a state's officially designated representative. E-mail messages can be sent to **ephillips@omb.eop.gov**. If you prefer, you may send correspondence to the following postal address:

Attn: Grants Management
Office of Management and Budget
New Executive Office Building, Suite 6025
725 17th Street, N.W.
Washington, DC 20503

Please note: Inquiries about obtaining a federal grant should not be sent to the OMB e-mail or postal address shown above. The best source for this information is the Catalog of Federal Domestic Assistance or CFDA http://www.cfda.gov and the Grants.gov Web site (http://www.grants.gov).

General Education Provisions Act (GEPA) Section 427

ALL APPLICANTS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.

Section 427 requires each applicant to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its federally-assisted program for students, teachers, and other program beneficiaries with special needs.

This section allows applicants discretion in developing the required description. The statute highlights six barriers that can impede equitable access or participation that you may address: *gender, race, national origin, color, disability,* or *age.*

A general statement of an applicant's nondiscriminatory hiring policy is not sufficient to meet this requirement. Applicants must identify potential barriers and explain steps they will take to overcome these barriers.

Note: Applicants are required to address this provision by attaching a statement to the ED GEPA 427 form in the Training Program application package downloaded from Grants.gov.

Government Performance and Results Act (GPRA)

What is GPRA?

The Government Performance and Results Act of 1993 (GPRA) is a straightforward statute that requires all federal agencies to manage their activities with attention to the consequences of those activities. Each agency is to clearly state what it intends to accomplish, identify the resources required, and periodically report their progress to the Congress. In so doing, it is expected that the GPRA will contribute to improvements in accountability for the expenditures of public funds, improve Congressional decision-making through more objective information on the effectiveness of federal programs, and promote a new government focus on results, service delivery, and customer satisfaction.

How has the Department of Education Responded to the GPRA Requirements?

As required by GPRA, the Department of Education has prepared a strategic plan for 2002-2007. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the U.S. The Department's goals, as listed in the plan, are:

Goal 1: *Create a Culture of Achievement.*
Goal 2: *Improve Student Achievement*
Goal 3: *Develop Safe Schools and Strong Character*
Goal 4: *Transform Education into an Evidence-based Field*
Goal 5: *Enhance the Quality of and Access to Postsecondary and Adult Education*
Goal 6: *Establish Management Excellence*

Within Goal 5, OPE has identified the following five objectives:

Objective 5.1 Reduce the gaps in college access and completion among student populations differing by race/ethnicity, socioeconomic status, and disability while increasing the educational attainment of all.
Objective 5.2 Strengthen accountability of postsecondary institutions.
Objective 5.3 Establish effective funding mechanisms for postsecondary education.
Objective 5.4 Strengthen Historically Black Colleges and Universities, Hispanic Serving Institutions, and Tribal Colleges and Universities.
Objective 5.5 Enhance the literacy and employment skills of American adults.

Unlike any other TRIO Program, the Training Program does not provide services to students. Rather, it provides support in the form of targeted training for personnel who administer and work in TRIO Programs.

What is the Performance Indicator for the Training Program?

The Federal TRIO Program's overarching goal is: to increase the percentage of low-income, first generation college students who successfully pursue postsecondary education opportunities.

The specific performance indicator for the Training Program is its cost-effectiveness, based on the percentage of TRIO personnel receiving training each year, and the percentage of those receiving training who rate the training as highly successful.

All Training Program grantees will be required to submit an annual performance report that includes data and documentation of their results in training TRIO personnel, including the average cost per trainee and the trainees' evaluations of the effectiveness of the training provided.

Instructions for Completing the Application and Forms

The Training Program application consists of the following four parts:

Part I: Application for Federal Assistance (SF 424) and Department of Education Supplemental Information for SF 424

Part II: Department of Education Budget Information Non-Construction Programs (ED Form 524)

Part III: Program Narrative -- <u>Project Narrative Attachment Form</u>

<u>NOTE</u>: In Grants.gov, applicants will find a list of "Mandatory Documents" which includes all of the required forms, assurances, and the "Project Narrative Attachment Form."

The "<u>Project Narrative Attachment Form</u>" (found in the Grants.gov application package) is where applicants will attach their narrative responses to the selection criteria that will be used to evaluate applications submitted for this competition – this section has a strict page limit of 50 pages.

Part IV: Assurances, Certifications, and Survey Form -- Applicants must complete the following assurances and certifications included in the application package:

- ED GEPA 427 Form
- Assurances for Non-Construction Programs (SF 424B)
- Grants.gov Lobbying Form (formerly Certification Regarding Lobbying ED 80-0013)
- Disclosure of Lobbying Activities (SF-LLL)
- Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion---Lower Tier Covered Transactions (ED 80-0014)
- Survey on Ensuring Equal Opportunity for Applicants

On the following pages, you will find:

1. Instructions for the following Standard Forms:

- **APPLICATION FOR FEDERAL ASSISTANCE (SF 424)**
- **DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424**
- **DEPARTMENT OF EDUCATION BUDGET INFORMATION NON-CONSTRUCTION PROGRAMS (ED 524)**
- **DISCLOSURE OF LOBBYING ACTIVITIES (SF-LLL)**

2. Other Information and Guidance:

- **SUPPLEMENTAL INFORMATION AND INSTRUCTIONS FOR PREPARING THE APPLICATION**
- **PROGRAM NARRATIVE INSTRUCTIONS**

INSTRUCTIONS FOR THE SF-424

This is a standard form (including the continuation sheet) required for use as a cover sheet for submission of preapplications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the Federal agency (agency). Required items are identified with an asterisk on the form and are specified in the instructions below. In addition to the instructions provided below, applicants must consult agency instructions to determine specific requirements.

Item	Entry:
1.	Type of Submission: (Required): Select one type of submission in accordance with agency instructions. • Preapplication • Application • Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date.
2.	Type of Application: (Required) Select one type of application in accordance with agency instructions. • New – An application that is being submitted to an agency for the first time. • Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals. • Revision - Any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration E. Other (specify)
3.	Date Received: Leave this field blank. This date will be assigned by the Federal agency.
4.	Applicant Identifier: Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.
5a	Federal Entity Identifier: Enter the number assigned to your organization by the Federal Agency, if any.
5b.	Federal Award Identifier: For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.
6.	Date Received by State: Leave this field blank. This date will be assigned by the State, if applicable.
7.	State Application Identifier: Leave this field blank. This identifier will be assigned by the State, if applicable.
8.	Applicant Information: Enter the following in accordance with agency instructions:
	a. Legal Name: (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website.
	b. Employer/Taxpayer Number (EIN/TIN): (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.
	c. Organizational DUNS: (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website.
	d. Address: Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).
	e. Organizational Unit: Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable.
10.	Name Of Federal Agency: (Required) Enter the name of the Federal agency from which assistance is being requested with this application.
11.	Catalog Of Federal Domestic Assistance Number/Title: Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
12.	Funding Opportunity Number/Title: (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
13.	Competition Identification Number/Title: Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.
14.	Areas Affected By Project: List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.
15.	Descriptive Title of Applicant's Project: (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project.
16.	Congressional Districts Of: (Required) 16a. Enter the applicant's Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 3 characters District Number, e.g., CA-005 for California 5thth district, CA-012 for California 12th district, NC-103 for North Carolina's 103rd district. • If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. • If nationwide, i.e. all districts within all states are affected, enter US-all. • If the program/project is outside the US, enter 00-000.
17.	Proposed Project Start and End Dates: (Required) Enter the proposed start date and end date of the project.
18.	Estimated Funding: (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.
19.	Is Application Subject to Review by State Under Executive Order 12372 Process? Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the

	f. Name and contact information of person to be contacted on matters involving this application: Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.		appropriate box. If “a.” is selected, enter the date the application was submitted to the State
		20.	Is the Applicant Delinquent on any Federal Debt? (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes. If yes, include an explanation on the continuation sheet.
9.	Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions. A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) O. Private Institution of Higher Education P. Individual Q. For-Profit Organization (Other than Small Business) R. Small Business S. Hispanic-serving Institution T. Historically Black Colleges and Universities (HBCUs) U. Tribally Controlled Colleges and Universities (TCCUs) V. Alaska Native and Native Hawaiian Serving Institutions W. Non-domestic (non-US) Entity X. Other (specify)	21.	Authorized Representative: (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant. A copy of the governing body’s authorization for you to sign this application as the official representative must be on file in the applicant’s office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

INSTRUCTIONS FOR
DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

a. Project Director. Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.

2. Novice Applicant. Check **"Yes"** or "**No**" only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank.**

Check "**Yes"** if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled "Definitions for Department of Education Supplemental Information for SF 424." By checking "Yes" the applicant certifies that it meets these novice applicant requirements. Check "**No**" if you do not meet the requirements for novice applicants**.**

3. Human Subjects Research. (See I. A. "Definitions" in attached page entitled "Definitions for Department of Education Supplemental Information For SF 424.")

If Not Human Subjects Research. Check "**No**" if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 3 are then not applicable.

If Human Subjects Research. Check "**Yes**" if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check "**Yes**" even if the research is exempt from the regulations for the protection of human subjects. (See I. B. "Exemptions" in attached page entitled "Definitions for Department of Education Supplemental Information For SF 424.")

3a. If Human Subjects Research is Exempt from the Human Subjects Regulations. Check "**Yes**" if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I. B. "Exemptions." In addition, follow the instructions in II. A. "Exempt Research Narrative" in the attached page entitled "Definitions for Department of Education Supplemental Information For SF 424."

3a. If Human Subjects Research is Not Exempt from Human Subjects Regulations. Check "**No**" if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II. B. "Nonexempt Research Narrative" in the page entitled "Definitions for Department of Education Supplemental Information For SF 424

3a. Human Subjects Assurance Number. If the applicant has an approved Federal Wide (FWA) on file with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter "None." In this case, the applicant, by signature on the SF-424, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

Note about Institutional Review Board Approval. ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

Paperwork Burden Statement. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0017. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4700. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12th Street, S.W. Room 7076, Washington, DC 20202-4260.

DEFINITIONS FOR
DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

(Attachment to Instructions for Supplemental Information for SF 424)

Definitions:

Novice Applicant (See 34 CFR 75.225). For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

PROTECTION OF HUMAN SUBJECTS IN RESEARCH

I. Definitions and Exemptions

A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

—**Research**

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as "a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge." *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program that is considered research for other purposes. For example, some demonstration and service programs may include research activities.

—Human Subject

The regulations define human subject as "a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information." *(1) If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

B. Exemptions.

Research activities in which the **<u>only</u>** involvement of human subjects will be in one or more of the following six categories of ***exemptions*** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to***

research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed. [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

If the applicant marked "Yes" for Item 3 of Department of Education Supplemental Information for SF 424, the applicant must provide a human subjects "exempt research" or "nonexempt research" narrative. Insert the narrative(s) in the space provided. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

A. Exempt Research Narrative.

If you marked "Yes" for item 3 a. and designated exemption numbers(s), provide the "exempt research" narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

B. Nonexempt Research Narrative.

If you marked "No" for item 3 a. you must provide the "nonexempt research" narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) **Human Subjects Involvement and Characteristics**: Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

(2) **Sources of Materials**: Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent**: Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks**: Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk**: Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained**: Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s)**: If research involving human subjects will take place at collaborating site(s) or other

performance site(s), name the sites and briefly describe their involvement or role in the research.

Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, DC 20202-4250, telephone: (202) 245-6120, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site: http://www.ed.gov/about/offices/list/OCFO/humansub.html

NOTE: The **State Applicant Identifier** on the SF 424 is for State Use only. Please complete it on the OMB Standard 424 in the upper right corner of the form (if applicable).

Instructions for ED 524

General Instructions

This form is used to apply to individual U.S. Department of Education (ED) discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached. Please consult with your Business Office prior to submitting this form.

Section A - Budget Summary
U.S. Department of Education Funds

All applicants must complete Section A and provide a breakdown by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

Indirect Cost Information:
If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. (1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the federal government. (2): If you checked "yes" in (1), indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED or another federal agency (Other) issued the approved agreement. If you check "Other," specify the name of the federal agency that issued the approved agreement. (3): If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement or whether you are using a restricted indirect cost rate that complies with 34 CFR

76.564(c)(2). Note: State or local government agencies may not use the provision for a restricted indirect cost rate specified in 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

Section B - Budget Summary
Non-Federal Funds

If you are required to provide or volunteer to provide matching funds or other non-federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year, for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave

Section C - Budget Narrative [Attach separate sheet(s)]
Pay attention to applicable program specific instructions, if attached.

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.

2. If applicable to this program, provide the rate and base on which fringe benefits are calculated.

3. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of "Training grants" (34 CFR 75.562) and grants under programs with "Supplement not Supplant" requirements ("Restricted Rate" programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

   When calculating indirect costs (line 10) for "Training grants" or grants under "Restricted Rate" programs, you must refer to the information and examples on ED's website at:
   http://www.ed.gov/fund/grant/apply/appforms/appforms.html.
   You may also contact (202) 377-3838 for additional information regarding calculating indirect cost rates or general indirect cost rate information.

4. Provide other explanations or comments you deem necessary.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1890-0004**. The time required to complete this information collection is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to (insert program office), U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, DC 20202.

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.

2. Identify the status of the covered Federal action.

3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.

4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.

5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.

6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.

7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.

8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."

9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.

10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

    (b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).

11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503

Supplemental Information and Instructions: The following information supplements the information provided in the "Dear Applicant" letter, "Highlights of Key Changes," and the Notice.

A. Criteria for Funding

All applications for grants under the Training Program will be evaluated as new submissions according to the selection criteria listed in the program regulations (34 CFR 642.31).

In accordance with 34 CFR 642.32, the Secretary will award prior experience points to applicants that have conducted a TRIO Training Program project within the last three fiscal years, based on their documented experience. Prior experience points, if any, will be added to the application's reader score to determine the total score for each application.

B. Formatting

Double-space all text in the application, including titles and headings. All text in charts, tables, graphs, footnotes, quotations, references, and captions may be single-spaced. Applicants may use one of the following fonts: *Times New Roman, Courier, Courier New* or *Arial*, **only**. Applications submitted in any other font (including *Times Roman* and *Arial Narrow*) will not be accepted. Applicants must use a size 12 font, only.

Include a Table of Contents; it will not be counted toward your 50-page limit. Appendices and attachments should not be included, as these items will be counted as part of the 50-page limit.

The "Project Narrative Attachment Form" is limited to 50 pages. This section will include the discussion of the selection criteria. The page limit does not apply to:

Application Face Sheet (Application for Federal Assistance Form – SF 424)
Table of Contents
Budget Summary Form (ED Form 524)
Assurances and Certifications
ED GEPA 427 Form

C. Length of New Award

Applicants for new awards may apply for two years (24 months) of funding.

D. Evaluation of Applications for Awards

A panel of five non-federal readers will review each application in accordance with the
selection criteria. Each reviewer will prepare a written evaluation of the application and assign points for each selection criterion.

E. Selection of Grantees

The Secretary will eliminate the high and low scores of the scores submitted by each panel of five non-federal readers. The remaining individual scores of the readers will be added and the sum divided by three to determine the reader score received in the review process.

Pursuant to §402A(c)(3) of the Higher Education Act of 1965, as amended, the Secretary will not make awards in the order of the scores received by the applications in the review process and adjusted for prior experience. Instead, within each specific absolute priority for which a grant is requested, the Secretary will select applications for funding in rank order of the reader scores received by the applications in the review process. Within each specific priority, if there are insufficient funds to fund all applications at the next reader score, the Secretary will use the total score, the application's reader score plus prior experience points, to make awards.

NOTE: Applicants should indicate the priority under which they are applying in Box 15, "Descriptive Title of Applicant's Project," of SF 424.

F. Applicant Funding

The Department is often unable to award the full amount of funds requested. Applicants should pay close attention to the "Maximum Award" section of the Notice.

G. Notice to Successful Applicants

The Department's Office of Legislation and Congressional Affairs will inform the Congress regarding applicants who are approved for new Training Program grants. Successful applicants will receive award notices by mail shortly after the Congress is notified. No funding information will be released before the Congress is notified.

H. Notice to Unsuccessful Applicants

Unsuccessful applicants will be notified in writing following the notice to successful applicants.

Program Narrative Instructions: **The program narrative is to be attached to the "Project Narrative Attachment Form" in the application package in Grants.gov.**

Before preparing the Program Narrative, applicants should review the "Dear Applicant" letter, "Highlights of Key Changes," the Notice, program statute, and program regulations for specific guidance and requirements. Note that applications will be evaluated according to the specific selection criteria specified in the Notice and this package.

The Secretary evaluates an application on the basis of the broad criteria in 34 CFR 642.31 of the Training Program regulations as identified in this application (see "Authorizing Legislation and Regulations"). The Program Narrative should provide, in detail, the information that addresses each selection criterion. The maximum possible score for each category of selection criteria is indicated in parenthesis.

Please limit the Program Narrative to 50 pages, double-spaced in 12-point font, and number the pages consecutively. The narrative should be written concisely. Only the required information should be submitted. If appendices or other supplemental materials are included, they will count as part of the 50-page limit. Please refer to the Notice (see "Content and Form of Application Submission") in this application for additional application submission requirements.

To facilitate the review of the application, provide responses to each of the following selection criteria in the following order:

1. PROJECT DESIGN

   A. Plan of Operation (34 CFR 642.31(a)) (20 points)
   B. Evaluation Plan (34 CFR 642.31(d)) (10 points)

2. RESOURCES

   A. Adequacy of Resources (34 CFR 642.31(e)) (15 points)
   B. Quality of Key Personnel (34 CFR 642.31(b)) (20 points)

3. BUDGET (34 CFR 642.31(c)) (10 points)

Total Maximum Score for Selection Criteria 75 points

The following guidance may assist you in addressing each of the selection criteria:

Need: In consultation with the TRIO community, the Department has already determined the need for training in various topics (see the absolute priorities on page 45). Thus, it is not necessary for applicants to respond to the "need" selection criterion in their applications. Each eligible application will be awarded 25 points in the evaluation process for the "need" selection criterion.

Plan of Operation: This part of the application should provide information on who, what, when and how the project will provide services to meet the goals and objectives. See the discussion on the absolute priorities for more information on addressing this criterion.

Evaluation Plan: A strong evaluation plan should be included and should be used, as appropriate, to shape the development of the project from the beginning of the grant period.

The evaluation plan should include benchmarks to monitor progress toward meeting specific project objectives based on the program's performance indicators. Specifically, the plan should identify the individual and/or organization that has agreed to serve as evaluator for the project and describe the qualifications of the evaluator. The plan should describe the evaluation design, indicating: (1) what types of data will be collected; (2) when various types of data will be collected; (3) what methods will be used; (4) what instruments will be developed and when; (5) how the data will be analyzed; (6) when reports and outcomes will be available; and (7) how the applicant will use the information collected through evaluation to monitor progress of the funded project and to provide accountability information both about success at the initial training site and effective strategies for replication in other settings. Applicants are encouraged to devote an appropriate level of resources to project evaluation. The use of an outside evaluator is not required.

Quality of Key Personnel: The minimum qualifications must be identified for all project personnel positions. The minimum educational qualifications should include the type of degree required and the acceptable field(s) of study. The type and minimum amount of work-related experience should also be described for each position. Experts identified for the project must have documented knowledge and expertise in serving TRIO-eligible students as well as documented knowledge and expertise in training adults.

Adequacy of Resources: This section should provide information that shows that the proposed budget will provide the resources necessary to successfully carry out the proposed trainings. Applicants should demonstrate here how the proposed resources would enable them to carry out the proposed trainings in the most cost-effective manner possible.

Budget: Projects will receive a maximum two-year award of $450,000 under priorities one and three and a maximum two-year award of $400,000 under priorities two and four. In response to this criterion, applicants must provide a detailed, itemized budget (ED Form 524) and a detailed budget narrative for the first-year (12-months) budget period, only. The budget narrative is to be included in the program narrative to be attached to the "Project Narrative Attachment Form" in the application package downloaded from Grants.gov. Additional budget instructions are cited below:

First Year Budget and Budget Summary Form (ED Form 524) Instructions:

NOTE: Applicants must submit (1) a budget information form to categorize requested funds (ED Form 524), **AND** (2) a detailed budget narrative for the first 12-month budget period.

The budget summary is to be included on the "Budget Information – Non-Construction Programs (ED Form 524)."
The budget narrative, for the first 12-month budget period only, is to be included in the program narrative (limited to 50 pages and attached to the "Project Narrative Attachment Form") as part of the **BUDGET selection criterion**.

This section requests information on the applicant's financial plan for carrying out the project. The federal and non-federal shares are to be included on the summary form (ED Form 524) and in the budget narrative.

For this competition, applicants may receive funding for two years. The Department is requesting that you complete the Budget Summary Form (ED Form 524) for the 2006-2007 year and provide **a comprehensive and detailed budget narrative for the first 12-month budget period, only**. It is not necessary to provide a budget summary for the total grant period requested, up to two years. The funding level for the first year is stipulated based on the Maximum Award Section of the Notice, and the Department will determine the funding levels for the last year of the grant award.

The budget summary (ED Form 524) must include all costs that are allowable, reasonable and necessary for carrying out the objectives of the Training Program. Among the costs that may be supported with grant funds are:

1. Personnel: On line 1 (ED Form 524), enter only the project personnel salaries and wages. [Fees and expenses for consultants should be included on line 8.] The budget should include the total commitment of time and the total salary to be charged to the project for each key staff member. You should provide a breakdown of project personnel that includes: the position titles; the percent of time and number of months committed to the project for each key staff member; the salary for each key staff member; and the total salary costs to be charged to the grant.

2. Fringe Benefits: On line 2 (ED Form 524), enter the amount of fringe benefits. The institution or agency's normal fringe benefit contribution may be charged to the program. Leave this blank if fringe benefits applicable to direct salaries and wages are treated as part of the indirect costs. In the budget, include an explanation and appropriate justification if the institution or agency's normal fringe benefit contribution exceeds 20 percent of salaries.

3. Travel: On line 3 (ED Form 524), provide the costs for project personnel and student participants. [Consultants' travel should be included on line 8.] In the budget, you should detail the proposed travel costs: for each trip explain the purpose and objective of the travel and provide the number of persons traveling. Transportation costs should not exceed tourist class airfare. For automobile mileage, the established institution or agency rate should be used. Reimbursement is allowed for taxicab, bus, train, or limousine transportation. Per diem at the established institution or agency rate is permitted when an individual is away from home overnight on official project business (see OMB Circular A-21, J.48.c - Commercial Air Travel). No foreign travel will be authorized under the grant.

The Federal TRIO Programs have developed the following guidelines for recommending approval of travel. All travel must be related to the project's overall purpose and proposed activities.

- Project Director's Travel – Per Year

A. One National Conference;
One Regional Meeting;
One State Meeting; **and**
B. Travel for participation in one professional staff development training.

- Full-time Professional Staff Travel – Per Year

A. One National, Regional, **or** State Meeting; **and**
B. Travel for staff development under the Training Program for Federal TRIO Programs.

4. Equipment: On line 4 (ED Form 524), indicate the cost of equipment -- non-expendable personal property, which has a usefulness of greater than one year and an acquisition cost of $5,000 or more per unit. [Consistent with an applicant's policy, a lower dollar amount may be used to define equipment.] In the budget, explain why the requested equipment is necessary to carry out project activities, and include a list of all equipment in the following format: item, quantity, cost per unit, and total cost.

5. Supplies: On line 5 (ED Form 524), include the costs of all tangible personal property that was not included as "equipment" on line 4. In the budget, provide an itemized list of the supplies.

6. Contractual: Not applicable. Leave blank.

7. Construction: Not applicable. Leave blank.

8. Other: On line 8 (ED Form 524), indicate all direct costs not covered on lines 1 through 5. The costs/fees for consultants and consultants' travel should be included here. Examples of "other" costs are: equipment rental, required fees, communications costs, rental of space, utilities, custodial services, and printing costs. In the budget, provide a breakdown of all direct costs not clearly covered by other budget categories.

   Consultants: If the project proposes to use consultants, identify the consultants who will work on the project, the scope of work to be performed by each consultant, and justify why project personnel cannot perform this work. Also, provide a detailed breakdown of the costs (daily fees to be paid, estimated number of days of services, and all travel expenses, including per diem). Cost allowances for consultant fees, honoraria, per diem, and travel should not exceed amounts permitted by comparable institutional or agency policies.

9. Total Direct Costs: On line 9 (ED Form 524), provide the total direct costs requested – the sum of lines 1 through 8.

10. Indirect Costs: On line 10 (ED Form 524), provide the amount of indirect costs that you propose to charge against the grant.

    All of the grants awarded under the Training Program (84.103A) are designated training grants. The Education Department Administrative Regulations (EDGAR) of the Department limit reimbursement to grantees for indirect costs they incur under training grants to the grantee's actual indirect costs as determined by the grantee's negotiated indirect cost agreement or a maximum of 8 percent of a modified total direct cost base, **whichever is less**. (**NOTE:** This limitation does not apply to States agencies, or local governments, or federally recognized Indian tribal governments. [§75.562(c)(2)])

    Grantees charging indirect costs to a Department grant are required to have a negotiated rate with their *cognizant agency* (i.e., either the Federal agency from which it has received the most direct funding that is subject to indirect cost support, or a particular agency specifically assigned cognizance by the Office of Management and Budget). Although applicants are not required to submit with their application a copy of their indirect cost agreement to claim the 8 percent rate for funding received in this program, they are required to have documentation available for audit that shows that their negotiated indirect cost rate is at least 8 percent [§75.563(d)]. In the event that they receive an award under this program, applicants without a negotiated indirect cost rate with its cognizant agency should seek to identify that agency and contact it to obtain an approved rate as soon as possible after award notification.

    Applicants should be aware that amounts representing the difference between the 8 percent rate and a greater indirect cost rate negotiated with a cognizant agency may **not** be charged to direct cost categories, used to satisfy matching or cost-sharing requirements, or charged to another Federal award. [§75.563(c)(3)]

11. Training Stipends: Not applicable.

    Leave blank.

12. Total Costs: On line 12 (ED Form 524), provide the total amount that you are requesting – the sum of lines 9 and 10. Note: This amount should also be the

same as that shown as 18g on the
application face sheet (SF 424).

Application Checklist

<u>Use This Checklist While Preparing Your Application Package</u>: All items listed on this checklist are required.

☐ Application for Federal Assistance - (SF 424)

☐ Department of Education Supplemental Information for SF 424

☐ Department of Education Budget Summary Form - (ED 524) – Sections A & B

☐ Program Narrative (50-page limit addressing the selection criteria) – Attach this document to the "Project Narrative Form" in the Grants.gov application package.

☐ Assurances and Certifications (These documents are included as "Mandatory Documents" in the "Application Package" in Grants.gov)

- ☐ GEPA Section 427 Requirement – Attach the response to the GEPA Form in the Grants.gov application package.
- ☐ Assurances – Non-Construction Programs (ED 424B)
- ☐ Grants.gov Lobbying Form (Formerly ED Form 80-0013)
- ☐ Disclosure of Lobbying Activities (SF LLL)
- ☐ Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions (ED 80-0014)